

## CHANGES APRIL 1, 2011 THROUGH MARCH 30, 2012

**TITLE 17—COMMODITY AND SECURITIES EXCHANGES****Chapter I—Commodity Futures Trading Commission (Parts 1—199)**

|  |  |  |
|--|--|--|
| Chapter I Order.....   | <b>20835, 42508, 80233</b>               |  |
| 1 Authority citation revised.....  | <b>41056, 44264, 69429, 71683, 78798</b> |  |
| Policy statement.....  | <b>77670</b>                             |  |
| Authority citation revised.....  | 2625                                     |  |
| 1.3 (zz) added.....  | <b>41056</b>                             |  |
| (c) and (d) revised; (k) removed; (aaa) through (fff) removed.....   | <b>69429</b>                             |  |
| (z) revised.....   | <b>71683</b>                             |  |
| (aa)(6) added.....   | 2625                                     |  |
| 1.12 (f)(1) removed.....   | <b>69430</b>                             |  |
| 1.25 Revised.....  | <b>78798</b>                             |  |
| 1.47 Removed.....  | <b>71684</b>                             |  |
| 1.48 Removed.....  | <b>71684</b>                             |  |
| 1.49 (d)(3) revised.....   | <b>44264</b>                             |  |
| 3 Authority citation revised.....  | 2626                                     |  |
| 3.1 (f) and (g) added.....   | 2626                                     |  |
| (f) corrected.....   | 3590                                     |  |
| 3.2 Heading revised; (c)(3) added.....   | 2626                                     |  |
| 3.4 (a) revised.....   | 2626                                     |  |
| 3.10 Heading, (a)(1)(i), (b)(1) and (d) revised; (a)(1)(iii), (iv) and (v) added.....  | 2626                                     |  |
| 3.21 (c) introductory text, (1)(iv), (2)(i) and (4)(i) revised; (c)(1)(v) added.....   | 2627                                     |  |
| 3.30 (a) revised.....  | 2627                                     |  |
| 3.31 (a)(1), (b) and (c)(2) revised.....   | 2628                                     |  |
| 3.33 (a) introductory text, (b) introductory text, (6)(vi), (vii) and (e) revised; (b)(6)(viii) and (ix) added.....  | 2628                                     |  |
| 4 Authority citation revised.....  | <b>44264, 71174</b>                      |  |
| Authority citation revised .....   | 9822                                     |  |
| Authority citation amended .....   | 17332                                    |  |
| 4.5 (c)(2)(iii) and (5) added; eff. 4-24-12.....   | 11283                                    |  |
| (c)(2)(iii) and (5) correctly added.....   | 17328                                    |  |
| 4.6 (a)(3) added; eff. 4-17-12 .....   | 9822                                     |  |
| 4.7 (a)(3)(ix), (x) and (b)(3) revised; eff. 4-24-12.....  | 11284                                    |  |
| (a)(3)(ix), (x) and (b)(3) correctly revised.....  | 17329                                    |  |
| 4.12 (b)(3) through (6) redesigned as (d)(1) through (4); (b) heading, (1) introductory text, new (d)(1) introductory text, (iii)(A), (B), (iv) and (2)(ii) revised; (b)(2) amended; (c) added ..... | <b>28644</b>                             |  |
| 4.13 (a)(3)(iv) and (4)(ii)(B) amended; (a)(5) redesignated as (a)(6); new (a)(6)(i) introductory text, (b)(1)(ii) and (2) revised; new (a)(5) added.....  | <b>28645</b>                             |  |
| (a)(3)(ii)(B)(1), (2), (b)(1)(ii) and (e)(2) introductory text revised; (a)(4) removed; (b)(4) redesignated as (b)(5); new (b)(4) added; eff. 4-24-12 .....  | 11284                                    |  |
| (a)(3)(ii)(B)(1), (2), (b)(1)(ii) and (e)(2) correctly revised; (a)(4) correctly removed; (b)(4) correctly redesignated as (b)(5); new (b)(4) correctly added .....                                  | 17329                                    |  |
| 4.14 (a)(8)(i)(D) revised; (a)(8)(iii)(D) redesignated as (a)(8)(iii)(E); new (a)(8)(iii)(D) added; eff. 4-24-12 .....   | 11284                                    |  |
| (a)(8)(i)(D) correctly revised; (a)(8)(iii)(D) correctly redesignated as (a)(8)(iii)(E); new (a)(8)(iii)(D) correctly added .....  | 17330                                    |  |
| Heading revised; (i)(3) redesignated as (i)(4); new (i)(3) added; (j)(1) amended; eff. 4-25-12 .....   | 17332                                    |  |
| 4.24 (h)(1)(i) revised .....   | <b>44264</b>                             |  |
| (b)(5) added; eff. 4-24-12 .....   | 11285                                    |  |
| (b)(5) correctly added .....   | 17330                                    |  |
| 4.27 Added.....  | <b>71174</b>                             |  |
| Revised; eff. 7-2-12 .....   | 11285                                    |  |
| Correctly revised; eff. 7-2-12 .....   | 17330                                    |  |
| 4.34 (b)(4) added; eff. 4-24-12 .....  | 11285                                    |  |
| (b)(4) correctly added .....   | 17330                                    |  |
| 4 Appendix A revised; eff. 4-24-12 .....   | 11286                                    |  |
| Appendix C added; eff. 4-24-12 .....   | 11337                                    |  |
| 5 Authority citation revised.....  | <b>56106</b>                             |  |
| 5.1 (d)(1)(i), (e)(1), (f)(1), (g) introductory text, (h)(1) and (j) amended .....   | <b>56106</b>                             |  |
| 5.3 (a)(4)(i)(A) amended .....   | <b>56106</b>                             |  |
| 5.10 (a)(1) introductory text and (c)(2) amended .....   | <b>56106</b>                             |  |

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## LSA—LIST OF CFR SECTIONS AFFECTED

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**TITLE 17 Chapter I—Con.**

|  |              |   |              |
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| 5.11 (a)(1) introductory text, (2) introductory text and (d)(2) amended .....  | <b>56107</b> | 151.4 Interim in part.....  | <b>71626</b> |
| 5.18 (a)(1)(ii) amended .....  | <b>56107</b> | 160 Heading and authority citation revised .....  | <b>43878</b> |
| 12.26 (c) revised .....  | <b>63188</b> | 160.1 (b) revised.....  | <b>43878</b> |
| 15 Authority citation revised.....   | <b>43862</b> | 160.3 (a) through (v), (w) and (x) redesignated as (t) through (w), (y) and (z); new (s), (x), (y)(6) and (7) added; (a), (n)(1)(i), (ii), (o)(1)(i) and new (y)(4) and (5) revised .....     | <b>43878</b> |
| 15.00 Heading and introductory text revised .....  | <b>43862</b> | 160.15 (a)(4) revised .....   | <b>43879</b> |
| 20 Added.....  | <b>43862</b> | 160.17 (b) revised .....  | <b>43879</b> |
| 21 Authority citation revised.....   | <b>69430</b> | 160.30 Revised.....   | <b>43879</b> |
| 21.04 Redesignated as 21.05; new 21.04 added .....   | <b>69430</b> | 162 Added.....  | <b>43884</b> |
| 21.05 Redesignated from 21.04 .....  | <b>69430</b> | 165 Added.....  | <b>53200</b> |
| 21.06 Added.....   | <b>69430</b> | 170.16 Added .....  | <b>2629</b>  |
| 22 Added; eff. 4-9-12 .....  | <b>6971</b>  | 180 Added.....  | <b>41410</b> |
| 23 Added.....  | <b>2628</b>  | 190.01 (w), (y) and (kk)(6) amended; (e) through (oo) redesignated as (f) through (pp); new (e) added; (a) and new (f), (cc), (hh), (ll)(2)(ii), (4), (5) and (pp) revised; eff. 4-9-12 ..... | <b>6378</b>  |
| Authority citation revised .....   | <b>9822</b>  | 190.02 (d)(1), (3), (6) and (7) amended; eff. 4-9-12 .....  | <b>6378</b>  |
| 23.1–23.20 (Subpart A) Heading corrected.....  | <b>3590</b>  | (a), (b)(1), (2), (d)(11), (e), (f)(1)(i), (ii) and (g)(2)(i) revised; eff. 4-9-12 .....  | <b>6379</b>  |
| 23.400–23.451 (Subpart H) Added; eff. 4-17-12.....   | <b>9822</b>  | 190.03 (a)(2) amended; eff. 4-9-12 .....  | <b>6378</b>  |
| 24 Authority citation revised .....  | <b>17332</b> | (a)(3), (b)(3), (4), (5) and (c) revised; eff. 4-9-12 .....   | <b>6380</b>  |
| 24.3a Heading revised; (a), (b)(1) heading, (2)(i) introductory text, (A), (B) introductory text, (1), (2), (3), (4), (C), (ii) and (c)(1) amended; eff. 4-25-12 ..... | <b>17332</b> | 190.04 (d)(1) revised; eff. 4-9-12 .....  | <b>6380</b>  |
| 30.7 (c) revised; (g) added .....  | <b>78802</b> | 190.05 (a)(1) and (b)(1) amended; eff. 4-9-12 .....   | <b>6378</b>  |
| 30.13 Added.....   | <b>59245</b> | (b) introductory text revised; eff. 4-9-12 .....  | <b>6381</b>  |
| 30 Appendix D revised.....   | <b>59247</b> | 190.06 (g)(g)(1)(i), (ii), (3) amended; eff. 4-9-12 .....   | <b>6378</b>  |
| 35 Revised.....  | <b>49299</b> | (a), (e)(1)(iii), (2), (f)(3)(i) and (g)(2) revised; (e)(1)(iv) removed; (e)(1)(v) redesignated as new (e)(1)(iv); (g)(1)(iii) added; eff. 4-9-12 .....                                       | <b>6381</b>  |
| 39 Authority citation revised.....   | <b>44473</b> | 190.07 (e)(1) and (2)(ii)(B) amended; eff. 4-9-12 .....   | <b>6378</b>  |
| Revised.....   | <b>69430</b> | (b)(2)(viii), (ix), (3)(v), (c)(1)(i), (e) introductory text, (1) and (4) revised; (b)(2)(xiii) redesignated as (b)(2)(xiv); new (b)(2)(xiii) added; eff. 4-9-12 .....                        | <b>6381</b>  |
| 39.5 Redesignated as 39.8; new 39.5 added .....  | <b>44473</b> | 190.09 (b) revised; eff. 4-9-12 .....   | <b>6382</b>  |
| 39.8 Redesignated from 39.5 .....  | <b>44473</b> | 190.10 (d)(1) and (h) amended; eff. 4-9-12 .....  | <b>6378</b>  |
| 40 Revised.....  | <b>44790</b> | (a) revised; eff. 4-9-12 .....  | <b>6382</b>  |
| 40.6 (a) corrected .....   | <b>45666</b> |   |              |
| 43 Added.....  | <b>1243</b>  |   |              |
| Technical correction .....   | <b>2909</b>  |   |              |
| 45 Added.....  | <b>2197</b>  |   |              |
| 48 Added.....  | <b>80698</b> |   |              |
| 49 Added.....  | <b>54575</b> |   |              |
| 140.94 (a)(5) revised; (a)(6) added .....  | <b>44474</b> |   |              |
| (a)(6) redesignated as (a)(7); heading, (a)(5) and new (7) revised; new (a)(6) and (8) through (14) added .....  | <b>69472</b> |   |              |
| 145.5 (d)(1)(viii) and (h) revised; eff. 4-24-12 .....   | <b>11342</b> |   |              |
| 147.3 (b)(4)(i)(H) and (b)(8) revised; eff. 4-24-12 .....  | <b>11342</b> |   |              |
| 150.2 Revised.....   | <b>71684</b> |   |              |
| 151 Added.....   | <b>71685</b> |   |              |

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| 190 Appendix A revised; eff. 4-9-12 .....   | 6382                         | 200.82a Regulation at 75 FR 56780<br>eff. date confirmed.....  | <b>58100</b> |
| Appendix B revised; eff. 4-9-12 .....   | 6386                         | 200.110—200.114 (Subpart F) Au-<br>thority citation revised.....   | <b>71874</b> |
| <b>Chapter II—Securities and Ex-<br/>change Commission (Parts<br/>200—399)</b>  |                              |  |              |
| 200 Authority citation amended .....  | <b>57637</b>                 | 200.304 Authority citation re-<br>moved.....   | <b>71874</b> |
| Authority citation amended.....   | 8095                         | 200.307 Authority citation re-<br>moved.....   | <b>71874</b> |
| 200.1 Introductory text and (b)<br>amended; (h) and authority<br>citation removed; (i) and (j)<br>redesignated as new (h) and<br>(i)..... | <b>71874</b>                 | 200.308 Authority citation re-<br>moved.....   | <b>71874</b> |
| 200.2 (c) removed; (d) through (g)<br>redesignated as new (c)<br>through (f).....   | <b>71874</b>                 | 200.312 (a)(5) and (6) amended;<br>(a)(7), (8) and (9) added; (b)<br>revised; authority citation<br>removed..... | <b>57637</b> |
| 200.13 Heading, (a), (b), (c) and<br>(d) amended.....   | <b>60371</b>                 | 200.500—200.511 (Subpart J) Au-<br>thority citation revised.....   | <b>60372</b> |
| 200.16a (b) and (c) amended .....   | 8095                         | 200.503 Introductory text and (a)<br>amended .....   | <b>60371</b> |
| 200.17 Introductory text amend-<br>ed.....  | <b>60371</b>                 | Authority citation removed .....   | <b>60372</b> |
| 200.20b Introductory text amend-<br>ed; (f) removed.....  | <b>71874</b>                 | 200.504 Introductory text amend-<br>ed.....  | <b>60371</b> |
| 200.20c Removed .....   | <b>60372</b>                 | 200.505 (c) amended .....  | <b>60371</b> |
| 200.21 (a) amended .....  | <b>60371, 60372, 71449</b>   | 200.508 (a) amended .....  | <b>60371</b> |
| 200.21a (a) and (b) amended .....   | <b>71449</b>                 | 200.510 (a) amended .....  | <b>60371</b> |
| 200.24 Amended .....  | <b>60372</b>                 | 200.511 (a) amended .....  | <b>60371</b> |
| 200.25 Removed .....  | <b>60372</b>                 | 200.551 Revised .....  | <b>71874</b> |
| 200.30-1 (c) amended .....  | 18684                        | 200.735-8 (b)(1) introductory text<br>amended; (b)(2) redesignated<br>as (b)(3); new (b)(2) added .....          | 13491        |
| 200.30-3 (a)(80) amended.....<br>(a)(17)(ii) revised.....   | <b>60371</b><br><b>67599</b> | 200.735-11 (c), (d) and (e) amended<br>.....   | <b>71450</b> |
| 200.30-4 (a)(14) revised.....<br>(a)(16) added.....   | <b>35349</b><br><b>39770</b> | 200.735-15 (a) through (f) amend-<br>ed.....   | <b>71450</b> |
| 200.30-5 (f) removed; (g) through<br>(m) redesignated as new (f)<br>through (l); new (k) and (l)<br>amended.....                          | <b>71874</b>                 | 200.735-17 Amended.....  | <b>71450</b> |
| 200.30-6 Authority citation re-<br>moved.....   | <b>71874</b>                 | 200.800 (b) amended; eff. 12-31-12<br>.....  | <b>46616</b> |
| 200.30-7 (a) introductory text and<br>(6) amended .....   | <b>71874</b>                 | (b) amended.....   | 18684        |
| 200.30-13 Amended.....  | <b>60372</b>                 | 200.80 (b) table amended.....  | <b>71874</b> |
| 200.30-14 (g)(1) introductory text<br>amended .....   | <b>71874</b>                 | 201 Authority citation revised .....   | <b>60372</b> |
| 200.30-15 Heading and text<br>amended .....   | <b>60371</b>                 | 201.59 Amended .....   | <b>60372</b> |
| 200.43 (b)(2) amended .....   | <b>71874</b>                 | 201.100—201.900 (Subpart D) Au-<br>thority citation revised.....   | <b>71875</b> |
| 200.50—200.72 (Subpart C) Au-<br>thority citation revised.....  | <b>71874</b>                 | 201.190 (a) amended .....  | <b>71875</b> |
| 200.80 (a)(4) amended .....   | <b>71874</b>                 | 201.210 (b) revised .....  | <b>71875</b> |
| 200.80a Table removed .....   | <b>71874</b>                 | 202 Authority citation amended<br>.....  | <b>71875</b> |
| 200.80c (b)(2) amended .....  | <b>71874</b>                 | 202.1 (b) amended .....  | <b>71875</b> |
| 200.80f Table amended.....  | <b>71874</b>                 | 202.2 Amended .....  | <b>71875</b> |
|   |                              | 202.3 (a) and (b)(1) amended.....  | <b>71875</b> |
|   |                              | 202.3a (e) amended.....  | <b>28890</b> |
|   |                              | 202.6 Authority citation removed<br>.....  | <b>71875</b> |
|   |                              | 202.9 Amended .....  | <b>71875</b> |
|   |                              | 204.32 Amended .....   | <b>60372</b> |
|   |                              | 204.34 (d) amended.....  | <b>60372</b> |
|   |                              | 210 Heading revised .....  | <b>50119</b> |

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**TITLE 17 Chapter II—Con.**

|  |                     |   |              |
|--|---------------------|---|--------------|
| 210.1-01 (a)(2) amended; (a)(3) removed; (a)(4) redesignated as new (a)(3).....  | <b>71875</b>        | 230.176 Authority citation removed.....   | <b>71876</b> |
| 210.1-02 (u) amended.....  | <b>50119</b>        | 230.215 (e) revised .....   | <b>81805</b> |
| 210.3-18 Authority citation removed.....   | <b>71875</b>        | 230.239T (e) amended .....  | <b>40229</b> |
| 210.3A-05 Removed.....   | <b>71875</b>        | 230.240 Added; interim .....  | <b>40611</b> |
| 210.4-01 (a)(3)(i) introductory text and (ii) amended .....  | <b>50119</b>        | 230.400—230.498 (Regulation C) Authority citation amended .....   | <b>71876</b> |
| 210.4-08 (h)(3) and Instructions amended .....   | <b>50119</b>        | 230.400 Authority citation removed.....   | <b>71876</b> |
| 210.4-10 (b) amended.....  | <b>50119</b>        | 230.404 Authority citation removed.....   | <b>71876</b> |
| 210.10-01 (a)(7) and (b)(5) amended.....   | <b>50120</b>        | 230.412 (b) amended.....  | <b>71876</b> |
| 229.10 (c) introductory text and (1)(i) amended; eff. 12-31-12.....  | <b>46617</b>        | 230.414 Authority citation removed.....   | <b>71876</b> |
| 229.101 Instructions amended .....   | <b>50120</b>        | 230.421 Authority citation removed.....   | <b>71876</b> |
| 229.104 Added .....  | <b>81782</b>        | 230.423 Authority citation removed.....   | <b>71876</b> |
| 229.201 (d) Instructions amended .....   | <b>50120</b>        | 230.427 Authority citation removed.....   | <b>71876</b> |
| 229.302 (b) and Instructions amended.....  | <b>50120</b>        | 230.430 Authority citation removed.....   | <b>71876</b> |
| 229.303 (a)(4)(ii)(A), (C), (D), (5)(ii)(A), (B), (C) and Instructions amended .....   | <b>50120</b>        | 230.431 Authority citation removed.....   | <b>71876</b> |
| 229.305 Instructions amended .....   | <b>50120</b>        | 230.436 Authority citation removed.....   | <b>71876</b> |
| 229.402 (a)(6)(iii), (iv), (c)(2)(ix)(C), (d)(2)(viii), (e)(1)(iii), (k)(2)(vii)(C), (m)(5)(iv), (n)(2)(ix)(C), (r)(2)(vii)(C), (m)(5)(iii) and Instructions amended ..... | <b>50121</b>        | 230.460 Authority citation removed.....   | <b>71876</b> |
| 229.405 Introductory text revised; (a)(1) amended .....  | <b>71875</b>        | 230.467 Heading, (a) and (b) amended; eff. 12-31-12.....  | <b>46617</b> |
| 229.503 Instructions amended .....   | <b>50121</b>        | 230.470 Authority citation removed.....   | <b>71876</b> |
| 229.601 (b)(11) amended .....  | <b>50121</b>        | 230.471 Authority citation removed.....   | <b>71876</b> |
| (a) table amended; (b)(95) added.....  | <b>81783</b>        | 230.473 (d) amended; eff. 12-31-12 .....  | <b>46617</b> |
| 229.1204 Instructions amended.....   | <b>50121</b>        | 230.479 Authority citation removed.....   | <b>71876</b> |
| 230 Authority citation revised .....   | <b>46617, 81805</b> | 230.480—230.485 Authority citation removed.....   | <b>71876</b> |
| Authority citation amended.....  | <b>71876</b>        | 230.500 Added .....   | <b>18684</b> |
| 230.122 Authority citation removed.....  | <b>71876</b>        | 230.501 Authority citation and preliminary notes after undesignated center heading removed; (a)(5) revised; (e)(1)(i) amended ..... | <b>81806</b> |
| 230.134 (a) introductory text and (6) revised; (a)(17) removed .....   | <b>46617</b>        | Introductory text amended .....   | <b>18685</b> |
| 230.138 (a)(2)(ii)(B)(2) revised .....   | <b>46617</b>        | 230.502 Introductory text amended .....   | <b>18685</b> |
| 230.139 (a)(1)(i)(A)(1)(ii) and (B)(2)(ii) revised.....  | <b>46617</b>        | 232.11 Amended .....  | <b>71876</b> |
| 230.144 (a)(3)(viii) amended.....  | <b>81805</b>        | 232.13 Regulation at 75 FR 56780 eff. date confirmed .....  | <b>58100</b> |
| 230.146 (c)T amended .....   | <b>40229</b>        | 232.101 (c)(12), (13) and (14) removed.....   | <b>71876</b> |
| (b)(1) and (2) revised.....  | <b>3597</b>         |   |              |
| 230.155 (a) amended.....   | <b>81805</b>        |   |              |
| 230.168 (a)(2)(ii)(B) revised .....  | <b>46617</b>        |   |              |
| 230.175 (b)(2)(ii) amended.....  | <b>50121</b>        |   |              |

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| 232.102 (a) amended; (f) removed .....  | <b>71876</b>                      | (i) added; interim .....   | <b>40612</b> |
| 232.104 (d) amended.....  | <b>71876</b>                      | 240.12h-3 (b)(1) introductory text<br>amended; (b) Note added .....                              | <b>52555</b> |
| 232.201 (a) note 1 amended .....  | <b>71876</b>                      | 240.12h-6 (i) Note added .....   | <b>52555</b> |
| 232.202 Note 1 amended.....   | <b>71876</b>                      | 240.13a-11 Regulation at 75 FR<br>56780 eff. date confirmed.....                                 | <b>58100</b> |
| 232.301 Revised.....  | <b>47440, 73508</b>               | 240.13d-1 Regulation at 75 FR<br>56780 eff. date confirmed.....                                  | <b>58100</b> |
| Revised.....  | 19078                             | 240.13d-102 Regulation at 75 FR<br>56780 eff. date confirmed.....                                | <b>58100</b> |
| 232.306 (b) and (c) amended.....  | <b>71876</b>                      | 240.13f-1 (c) amended.....   | <b>71876</b> |
| 232.311 (c), (d) and (e) removed;<br>(f) through (i) redesignated<br>as new (c) through (f); new<br>(e)(1) and (2) amended..... | <b>71876</b>                      | 240.13h-1 Added.....   | <b>47002</b> |
| 232.405 Preliminary Note 1, (a)(2)<br>introductory text, (3), (4)<br>and section Note amended;<br>eff. 12-31-12.....            | <b>46617</b>                      | 240.14a-2 Regulation at 75 FR<br>56780 eff. date confirmed.....                                  | <b>58100</b> |
| 232.501 (c)(2) and (3) amended.....   | <b>71876</b>                      | 240.14a-4 Regulation at 75 FR<br>56781 eff. date confirmed.....                                  | <b>58100</b> |
| 239 Authority citation revised.....   | <b>46617,</b><br><b>81806</b>     | 240.14a-5 Regulation at 75 FR<br>56782 eff. date confirmed.....                                  | <b>58100</b> |
| Authority citation amended.....   | <b>71876</b>                      | 240.14a-6 Regulation at 75 FR<br>56782 eff. date confirmed.....                                  | <b>58100</b> |
| 239.13 Undesignated text heading<br>following (b)(1), (b)(2) and (5)<br>revised .....   | <b>46617</b>                      | 240.14a-8 Regulation at 75 FR<br>56782 eff. date confirmed.....                                  | <b>58100</b> |
| Form S-3 amended .....  | <b>46618, 81783</b>               | 240.14a-9 Regulation at 75 FR<br>56782 eff. date confirmed.....                                  | <b>58100</b> |
| 239.15A Form N-1A amended.....  | <b>50123</b>                      | 240.14a-12 Regulation at 75 FR<br>56787 eff. date confirmed.....                                 | <b>58100</b> |
| 239.17a Form N-3 amended .....  | <b>50123</b>                      | 240.14a-18 Regulation at 75 FR<br>56787 eff. date confirmed.....                                 | <b>58100</b> |
| 239.17b Form N-4 amended .....  | <b>50123</b>                      | 240.14a-101 Note E(2)(ii) revised<br>.....   | <b>46620</b> |
| 239.17c Form N-6 amended.....   | <b>50123</b>                      | Regulation at 75 FR 56788 eff.<br>date confirmed .....   | <b>58100</b> |
| 239.25 Form S-4 amended.....  | <b>46619, 50121</b>               | 240.14d-4 Authority citation re-<br>moved.....   | <b>71876</b> |
| 239.33 (b)(2) revised; Form F-3<br>amended .....  | <b>46619</b>                      | 240.14d-7 Authority citation re-<br>moved.....   | <b>71876</b> |
| 239.34 Form F-4 amended.....  | <b>46620</b>                      | 240.14n-1 Regulation at 75 FR<br>56788 eff. date confirmed.....                                  | <b>58100</b> |
| 239.37 (h)(3) amended; eff. 12-31-<br>12 .....  | <b>46620</b>                      | 240.14n-2 Regulation at 75 FR<br>56788 eff. date confirmed.....                                  | <b>58100</b> |
| Form F-8 amended.....   | <b>46620</b>                      | 240.14n-3 Regulation at 75 FR<br>56788 eff. date confirmed.....                                  | <b>58100</b> |
| 239.39 Removed; eff. 12-31-12 .....   | <b>46620</b>                      | 240.14n-101 Regulation at 75 FR<br>56788 eff. date confirmed.....                                | <b>58100</b> |
| 239.40 (c)(4) and Form F-10<br>amended; eff. 12-31-12 .....   | <b>46620</b>                      | 240.15b12-1T Added (temporary)<br>.....  | <b>41685</b> |
| 239.63 Form ID revised.....   | <b>55791</b>                      | 240.15d-11 Regulation at 75 FR<br>56792 eff. date confirmed.....                                 | <b>58100</b> |
| 239.64 Form SE amended.....   | <b>71877</b>                      | 240.15d-22 Revised .....   | <b>52555</b> |
| 239.90 Form 1-A amended.....  | <b>50121</b>                      | 240.15g-1 (c) amended .....  | <b>18685</b> |
| 239.500 Heading and (a)(1) and<br>Form D amended .....  | <b>81806</b>                      | 240.15Ba2-6T Amended; interim .....  | <b>80735</b> |
| 240 Authority citation amended<br>.....   | <b>34363, 34590, 46620, 71876</b> | 240.15Ga-1 Correctly amended.....  | <b>54375</b> |
| Policy statement .....  | <b>36287, 38293</b>               | 240.16a-1 (a)(5)(i) removed;<br>(a)(5)(ii) and (iii) redesign-<br>ated as new (a)(5)(i) and (ii) |              |
| Authority citation revised .....  | <b>41685</b>                      | .....  | <b>71876</b> |
| 240.0-4 Authority citation re-<br>moved.....  | <b>71876</b>                      |  |              |
| 240.0-12 (b) revised .....  | <b>43891</b>                      |  |              |
| 240.3b-6 (b)(2)(ii) amended .....   | <b>50122</b>                      |  |              |
| 240.11d1-1 (d) amended; authority<br>citation removed .....   | <b>71876</b>                      |  |              |
| 240.12a-10T (b) amended .....   | <b>40229</b>                      |  |              |
| 240.12a-11 Added; interim.....  | <b>40611</b>                      |  |              |
| 240.12h-1 (h)T amended.....   | <b>40229</b>                      |  |              |

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## LSA—LIST OF CFR SECTIONS AFFECTED

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**TITLE 17 Chapter II—Con.**

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| 240.16a-2 Introductory text amended.....   | <b>71877</b>                  | 249.308a Form 10-Q amended.....           | <b>81785</b> |
| 240.16a-3 (d) amended.....   | <b>71877</b>                  | 249.310 Form 10-K amended.....            | <b>81785</b> |
| 240.16b-1 (a) designation and (b) removed.....   | <b>71877</b>                  | 249.323 Form 15 amended.....              | <b>52556</b> |
| 240.17h-1T (a)(1)(vii) amended .....   | <b>50122</b>                  | 249.327 Added .....                       | <b>47004</b> |
| 240.19b-4 (a) redesignated as (a)(1); (a)(2) added.....  | <b>20509</b>                  | 249.328T Form 17-H amended .....          | <b>50123</b> |
| (f)(4) introductory text amended; (f)(4)(i) and (ii) redesignated as (f)(4)(i)(A) and (B); (f)(4) introductory text and new (i)(B) amended; (f)(4)(ii)(A) and (B) added; interim ..... | <b>41062</b>                  | 249.444 Form SE amended.....              | <b>71877</b> |
| 240.21F-1 Undesignated center heading and section added.....   | <b>34363</b>                  | 249.446 Form ID revised.....              | <b>55791</b> |
| 240.21F-2 Added.....   | <b>34363</b>                  | 249.819 Form 19b-4 amended; interim ..... | <b>41063</b> |
| 240.21F-3 Added.....   | <b>34363</b>                  | 249.1800—249.1801 (Subpart S) Added ..... | <b>34371</b> |
| 240.21F-4 Added.....   | <b>34363</b>                  | 250 Removed .....                         | <b>71877</b> |
| 240.21F-5 Added.....   | <b>34363</b>                  | 251 Removed .....                         | <b>71877</b> |
| 240.21F-6 Added.....   | <b>34363</b>                  | 256 Removed .....                         | <b>71877</b> |
| 240.21F-7 Added.....   | <b>34363</b>                  | 257 Removed .....                         | <b>71877</b> |
| 240.21F-8 Added.....   | <b>34363</b>                  | 259 Removed .....                         | <b>71877</b> |
| 240.21F-9 Added.....   | <b>34363</b>                  | 260.0-4 Authority citation removed.....   | <b>71877</b> |
| 240.21F-10 Added.....  | <b>34363</b>                  | 260.0-6 Authority citation removed.....   | <b>71877</b> |
| 240.21F-11 Added.....  | <b>34363</b>                  | 260.4d-11T Amended.....                   | <b>40229</b> |
| 240.21F-12 Added.....  | <b>34363</b>                  | 260.4d-12 Added; interim .....            | <b>40612</b> |
| 240.21F-13 Added.....  | <b>34363</b>                  | 260.7a-29 Authority citation removed..... | <b>71877</b> |
| 240.21F-14 Added.....  | <b>34363</b>                  | 260.19a-1 Amended .....                   | <b>71877</b> |
| 240.21F-15 Added.....  | <b>34363</b>                  | 269.7 Form ID revised.....                | <b>55791</b> |
| 240.21F-16 Added.....  | <b>34363</b>                  | 269.8 Form SE amended.....                | <b>71877</b> |
| 240.21F-17 Added.....  | <b>34363</b>                  | 270.0-4 Authority citation removed.....   | <b>71877</b> |
| 242.101 (b)(10)(i) amended .....   | 18685                         | 270.3a-8 (b)(9) amended.....              | <b>50123</b> |
| 242.102 (b)(7)(i) amended .....  | 18685                         | 270.8b-32 Authority citation removed..... | <b>71877</b> |
| 242.104 (j)(2)(i) amended .....  | 18685                         | 270.17j-1 (a)(8) amended .....            | <b>81806</b> |
| 243.100 (b)(1)(ii) amended.....  | <b>71877</b>                  | 271 Policy statement.....                 | <b>55237</b> |
| 249 Authority citation amended .....   | <b>34371</b>                  | 274.11A Form N-1A amended.....            | <b>50123</b> |
| 249.103 Form 3 amended.....  | <b>71877</b>                  | 274.11b Form N-3 amended .....            | <b>50123</b> |
| 249.104 Form 4 amended.....  | <b>71877</b>                  | 274.11c Form N-4 amended .....            | <b>50123</b> |
| 249.105 Form 5 amended.....  | <b>71877</b>                  | 274.11d Form N-6 amended .....            | <b>50123</b> |
| 249.220f Form 20-F amended.....  | <b>50122,</b><br><b>81783</b> | 274.202 Form 3 amended.....               | <b>71877</b> |
| 249.240f (a) introductory text and (b)(4) introductory text amended; Note following (a) introductory text redesignated as (a) Note; eff. 12-31-12 .....                                | <b>46620</b>                  | 274.203 Form 4 amended.....               | <b>71877</b> |
| Form 40-F amended; eff. 12-31-12 .....   | <b>46621</b>                  | 274.402 Form ID revised.....              | <b>55791</b> |
| Form 40-F amended .....  | <b>50123, 81784</b>           | 274.403 Form SE amended.....              | <b>71877</b> |
| 249.308 Form 8-K amended ...   | <b>50123, 81785</b>           | 275 Authority citation revised .....      | <b>39701</b> |
| Regulation at 75 FR 56792 eff. date confirmed .....  | <b>58100</b>                  | Authority citation amended .....          | <b>43011</b> |
|  |                               | 275.0-4 Authority citation removed.....   | <b>71877</b> |
|  |                               | 275.0-7 (a)(1) amended .....              | <b>43011</b> |
|  |                               | 275.202(a)(11)-1 Removed .....            | <b>43011</b> |
|  |                               | 275.202(a)(11)(G)-1 Added .....           | <b>37994</b> |
|  |                               | 275.202(a)(30)-1 Added .....              | <b>39701</b> |
|  |                               | 275.203-1 (e) added .....                 | <b>43011</b> |
|  |                               | 275.203(b)(3)-1 Removed .....             | <b>43011</b> |
|  |                               | 275.203(b)(3)-2 Removed .....             | <b>43011</b> |
|  |                               | 275.203(1)-1 Added .....                  | <b>39702</b> |
|  |                               | 275.203(m)-1 Added .....                  | <b>39703</b> |
|  |                               | 275.203A-1 Revised.....                   | <b>43011</b> |

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|---|---|--|
| 275.203A-2 (a) removed; (b) through (f) redesignated as new (a) through (e); new (d)(2), (3) and (4) redesignated as (d)(2)(i), (ii) and (3); new (d)(2) introductory text added; new (a)(1), (c)(1), (d)(1), (2)(i), (ii) revised; new (a)(2) introductory text, (e)(1)(ii), (iii), (2) and (3) amended..... | <b>43012</b>  | 38 ..... <b>58186</b> , 77728<br>39 ..... <b>45730</b> , 47529, 58186<br>41 ..... 33066<br>43 ..... 15460<br>46 ..... <b>22833</b><br>75 ..... 8332<br>140 ..... <b>27802</b> , 33066<br>145 ..... 33066<br>155 ..... 33066<br>162 ..... 13450<br>166 ..... 33066<br>190 ..... 31518, 33818, 35141<br>200—399 (Ch. II) ..... 23221, 44507, 44508,<br>56128, 79141<br>200 ..... 30048<br>229 ..... 18966, 25273, 47948, 63573<br>230 ..... 31518, 34920, 47948, 49698, 60320,<br>78181<br>..... ..... 24<br>232 ..... 33420<br>239 ..... 31518, 47948<br>240 ..... 18966, 25273, 26550, 29818, 32880,<br>33420, 34920, 37572, 42396, 65784<br>242 ..... 26550<br>246 ..... 24090, 34010<br>248 ..... 21170<br>..... ..... 13450<br>249 ..... 26550, 33420, 37572, 47948, 63573,<br>65784<br>249b ..... 33420<br>255 ..... 68846<br>..... ..... 23<br>260 ..... 34920<br>270 ..... 55300, 55308<br>275 ..... 27959<br>400—499 (Ch. IV) ..... 39315<br>400 ..... 59592<br>401 ..... 59592<br>402 ..... 59592<br>403 ..... 59592<br>405 ..... 59592<br>420 ..... 59592 |
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| 1—199 (Ch. I) ...   | <b>23221</b> , 25274, 35372, 38328,<br>44507, 65999 |  |
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| <b>Chapter I—Federal Energy Regu-<br/>latory Commission, Department<br/>of Energy (Parts 1—399)</b>   |   |  |
| 1b Authority citation revised .....   |   |  |
| 1b.11 Amended.....  |   |  |
| 1b.12 Amended.....  |   |  |
| 1b.14 (a) amended .....   |   |  |

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